



PHASE IV TRANSITION PLAN

Department of Education Student Financial Assistance

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FMS Transition Plan

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FMS Transition Plan

1. Introduction

1.1 Transition Overview

The Department of Education Financial Student Aid (FSA) is in the process of completing an extensive implementation of Oracle Federal Financials version 11.03. The implementation of the FSA Financial Management System (FMS) is being completed in a phased approach. This plan addresses those transition issues associated with the implementation of Phase IV as well as unresolved issues resulting from Phase II and III of the implementation.

This transition plan will address the planning needs and issues across all areas of the implementation for Phase IV. Phase IV will further facilitate FSA's transformation through the following:

- Development and deployment of interfaces to new systems for FSA programs undergoing modernization
- Further implementation of business process and accounting consistency across the programs, in this phase for receivables management
- Providing assistance with the identification of the additional set-up activities that are required for the Phase IV go-live, including new accounting.

During Phase III of the FMS implementation a transition document was prepared to assist the organization with the transformation of the FSA CFO office. While several of the transition initiatives have been in process in the past six months, there are still several organizational transformation issues that need to be addressed. These include those efforts involving people, processes, underlying technologies, data availability, relationship interaction and regulatory requirement considerations.

1.2 Transition Approach

While the Phase IV FMS Project Workplan includes the detailed steps involved in every application, project management and system development lifecycle phases of the project, it does not isolate and focus on the issues and steps required to transition the CFO and FSA organization, business, and technology environments to FMS. This transition plan addresses those issues and steps. In addition, this plan incorporates the FSA CFO's need for continuous process improvement and capitalizes on the knowledge captured and lessons learned from the prior releases of FMS.

The transition management team will continue to utilize the release checklist (Appendix A) to manage the detailed pre-requisite, which must be completed before each release of Phase IV. The checklist incorporates the people, processes and technology of the implementation.

For purposes of this plan, and the FMS implementation effort, the transition approach should include an integrated communications, training, workforce planning, and evaluation approach to assisting directors, managers, and employee's transition effectively into a new way of accomplishing work. Specifically;

- **Communications:** In order to be effective, FMS, with the assistance of the transition team, must be able to do the following:
-



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- Assess the effectiveness of current and proposed business practices and processes
- Convey the capabilities and/or limits of FMS software
- Engage groups affected by automation or business practice change in a meaningful exchange of information
- Provide accurate information regarding design and implementation
- Provide accurate information regarding data processing timing and progress
- Foster acceptance of new methods of work

These abilities need to be continually enhanced through open and honest communication between the applicable parties.

- **Training:** The success of the FMS implementation is dependent upon having well trained end users who are comfortable with their knowledge and skill in using FMS. Good training fosters acceptance of new work processes, efficiency of processing and accuracy in data collection. For purposes of this plan, training includes, but is not limited to: classroom training, over-the-shoulder training, and the use of user guides. The level of training in which the user is offered will be contingent on one or more factors including: the number of users that need training, the skill set of the user, the level of activity and/or complexity of the task to be performed, and the availability of the user and/or trainer.
- **Organization:** Changes in business practices and the introduction of new computer and job skills affect the number of positions required and the nature of work in the new work environment produced by FMS. The transition team for FMS, has the responsibility to ensure that the appropriate resources have been identified and are in place to perform the necessary functions required to process, maintain and analyze data in the FMS system. The transition team will work closely with the FSA CFO, FSA Directors and FSA employees to facilitate and review the impact that the FMS implementation, (and the ongoing releases) may have on the current assignment of roles and responsibilities. The transition team will specifically work with the FSA CFO to create an organizational structure that most effectively incorporates the functionality of FMS while still meeting the day-to-day operational needs of the FSA CFO organization.
- **Evaluation:** In order to assess success, the transition team should work with the FSA CFO organization to identify those areas in which evaluations could be performed. These performance measures and critical success factors will correlate with those established for the FSA CFO Organization. Conventional methods for evaluation and measurement to be used will include strategically planned surveys, questionnaires, interviews with appropriate personnel, and other activities for feedback from those affected by the system.

Note that the Transition Team for Phase IV takes on the responsibility for identifying the transition issues within this plan. Until the Phase IV FMS requirements and functional designs are completely built through the joint efforts of the CFO teams, FMS team and Program area teams, all transition tasks cannot be identified and managed.



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The actual execution of the transition plan will be shared among FSA CFO and other channels and partners. Across the main categories of transition issues, ownership divides among different parts of the FSA organization. If the FSA CFO and other channels and partners are unable to identify and/or provide those resources and be an active partner, transition will not be executed to full potential.



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2. Communication

2.1 Overview

The introduction of new business processes as a result of the FMS implementation has profoundly affected the way most individuals within FSA accomplish their work. The lack of constructive and organized communication has adversely affected the FMS implementation in varying degrees – from delaying rollout of some FMS releases to the inability to understand the way FMS receives, analyzes, and processes transactions on a daily basis.

Communications must seek to create and maintain awareness of and commitment to the business and personal change that FMS and its associated releases represent. Therefore, individuals must understand:

- Why FMS exists, and what role does it play within the organization
- How it will affect their work, and
- What they will need to do to successfully transition to FMS and its upcoming releases.

Targeted, frequent and timely communications will achieve this goal.

2.2 Vehicles

Best practices dictate that a range of media and communication vehicles be used to reach the appropriate audiences. The vehicles and channels of communication—combined with messages and audiences—must be managed as a system, or replicable process, rather than as random, disconnected elements. Examples include print, electronic and face-to-face methods. It is important to examine the vehicles to ensure that they “push” information to key audiences in an effort to move information from the implementation and FMS operations team to the stakeholder audiences as opposed to those vehicles that require the audiences to seek out information on their own.

The transition team has identified the following communication vehicles and their objectives that are, or should be, utilized on the project as identified in the Table 1 below.

Vehicle	Objective
Newsletter and other publications (i.e. Fliers, posters, etc.)	To provide periodic, accurate and timely project related information
Word of Mouth	To distribute and communicate accurate information
SFANET Website	To provide ongoing, accurate and timely project related information
Official Correspondence	To deliver ad hoc high-level communication
Emails	To provide ad hoc subject-specific information using a semi-open or closed



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Vehicle	Objective
	forum
Meetings (including brown bags and all hands)	To present and discuss project-related information periodically and ad hoc
"Over the Shoulder Training"	To allow the FSA Community ongoing use of the system without fear of mistakes
Help Desk	To provide ongoing support to application end users with issues and inquiries
Policy Directives	To issue a one time consistent policy that reflects the pertinent changes
Conference Calls	To provide ad hoc subject-specific information using a semi-open or closed forum

2.3 Audience

Communication with both the internal and external audiences is key throughout the entire FMS project. Internal audiences include the members of the implementation team and the FSA employees that are actively involved in developing the solutions. External audiences include project sponsors, all FSA employees affected by FMS and all EDCFO employees affected by FMS.

2.4 Best Practices

To facilitate the communication process, and to assist in delivering accurate, timely and consistent messages and information, the person or team that is issuing the message should utilize the following best practices:

- Ensure all messages are clear, consistent and comprehensible. Develop materials that can be used (with little or no revision) multiple times to convey the message in different formats including hardcopy and electronic.
- Be responsive in addressing various communication needs.
- Emphasize the availability of employee question/feedback services.
- Identify and utilize key personnel from areas and functions that will be significantly impacted.
- Management support is critical to success. Strong management commitment and visibility are critical to the success of this implementation.



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3. Training

3.1 Overview

It is essential that the FSA employees be trained properly in order to take on new roles and responsibilities. The training effort needs to continue to be closely coordinated with the various FSA teams within the CFO in order to accommodate the various requirements needed to provide adequate knowledge transfer. FMS training needs will continue to be identified for both Phase III scope items as well as Phase IV.

Skills and roles, as well as changes in policies and procedures will change over time thus a mechanism should be put in place that will continuously update support and retain staff numbers over the life of the FMS system.

Refer to the Training Plan for more detail about the FMS Phase IV Training approach. The detail includes specific training deployment approaches.

3.2 Vehicles

The level of training in which the user is offered will be contingent on one or more factors including: the number of users that need training, the skill set of the user, the level of activity and/or complexity of the task to be performed. Best practices dictate that a range of training vehicles be used to reach the appropriate audiences.

Vehicle	Objective
Instructor Led Hands on Training	This delivery method is ideal for medium to large groups and is held in a classroom setting. Training includes lectures, demonstrations, individual hands-on computer exercises, group discussions, use of online tools, and other learning activities.
Over the Shoulder Training	This delivery method is ideal for small groups and is held at the users desktop. Training includes demonstrations of specific tasks, individual hands-on work and other learning activities.
User Manuals and On line Tools	This delivery method is ideal for a single user. Training includes navigation tutorials and documentation of required tasks.

3.3 Audience

Training, at various times, is required for both internal and external audiences. Internal audiences include those FSA employees that need to use the FMS in their day-to-day job responsibilities.



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External audiences may include those users that need access to FMS to complete a specific project (i.e. Auditors).

3.4 Best Practice

Training is an extremely valuable tool in positively impacting the FMS implementation. Training prepares people to perform successfully and meet their individual challenges. By giving people the opportunity to learn and expand their skills sets will make them more valuable to the organization. The training team should utilize the following best practices:

- Training must focus on business processes and end user tasks rather than on system functionality. Particularly with FMS, users must see how they affect other parts of the business and their role in making the implementation successful. Learning how to do their job is more meaningful and critical than learning how FMS works.
- End users must have the opportunity to practice the tasks they will perform using the data they will encounter. Use of real-life scenarios is critical to the ability to transfer learning back to the job.
- Training alone does not produce end users who can use FMS to do their jobs. End users cannot be expected to memorize how to use FMS. They need well-written, job-specific work instructions and accessible on-the-job support.
- Training must be designed to spend the “right” amount of time on tasks based on job task attributes or “role-based training”. Spending equal time on all tasks wastes users’ time and fails to communicate criticality or address complexity.
- Integration of the Training team with the FMS development team, the FMS operations team and the Transition Manager is critical to success. The dynamics of an implementation require the Training team to be closely aligned with the various teams to ensure that changes are incorporated thereby minimizing rework.
- Management support is critical to success. Strong management commitment and visibility have more impact on whether an implementation is successful than almost any other single element.



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4. Organization

4.1 Organizational Structure

The FSA CFO team, prior to implementation of FMS, primarily functioned as an oversight department for financial management and accounting activities that took place in other parts of the Department of Education and FSA Channel Organizations. With the implementation of the FMS, additional activities have become the responsibility of the FSA CFO team. FMS has expanded the responsibilities of the CFO organization to include:

- Collecting, processing, maintaining, transmitting and reporting data about financial events
- Supporting financial planning and budgeting activities
- Accumulating and reporting cost information
- Supporting the preparation of financial statements, including reconciliations of the data

In order to successfully transition to a new accounting system it is essential to have an organizational structure in place that can fully incorporate the FMS functionality as well as the external responsibilities related to job descriptions. In the immediate term, the transition team will work with the CFO, Deputy CFO, and Accounting Director to develop and implement an organizational structure, associated roles and responsibilities, and responsibilities matrixes to manage the work of the CFO in the FMS application.



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5. Evaluation

It is critical to measure the effectiveness and impact of communication, training and organizational initiatives through audience feedback. The transition team will collaborate with the various owners to identify these performance measures. Results of these measures will be assessed and analyzed to help determine if adjustments are necessary to the communication, training, personnel, or organizational activities of the FSA CFO. Table 2 provides a sample list of performance measures that could be utilized.

Table 2

Objective	What will be Measured	How will it be Measured
Assure that the goals and objectives of the project are effectively communicated to all relevant groups	<ul style="list-style-type: none">• Audience opinions of the usefulness of communication efforts toward their understanding	<ul style="list-style-type: none">• Survey• Asking questions through meetings, assessment, feedback
Assure that appropriate and timely information is delivered to appropriate groups (ie. Business practice, system changes, transition issues, etc.)	<ul style="list-style-type: none">• Measure the types, quantity and frequency of questions and comments received• Measure the timeframe for dissemination of information against a set goal established by the team (ie. Respond to a question within x days.)	<ul style="list-style-type: none">• Survey• Asking questions through meetings, assessment, feedback• Help Desk logged calls



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6. Impacting Issues External to FMS

Along with all of the tasks and work products integral to the implementation and success of FMS Phase IV, which are internal to the project, there are a number of external issues, which also impact the implementation:

- Accounting Support
- Department of Education FMSS
- Program Area Issues and Concerns
- FARS Retirement
- FFEL Retirement – Loan Level Data Storage
- CFO Data Mart, Financial Partners Data Mart
- Phase III Operations and Maintenance

Mitigating the impact of these issues is not exclusively within the control of the FMS project team. Frequent and consistent negotiation and collaboration with the General Managers and functional and technical points of contact in the channel area for each issue is required.



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Appendix A: Release Checklist

FMS Release Checklist Release IV GO LIVE Prerequisites

	STATUS	COMMENTS/HOW VALIDATED	RISKS IDENTIFIED	POINT OF CONTACT	PRR
SFA PROCESSES				Bill Walsleben	
Applications Management Task Order Reviewed and Approved	Green			Bill Walsleben	x
GENERAL				Todd Elliott	
Project Definition Documentation	Green			Todd Elliott	x
- Task Order	Green			Todd Elliott	x
- Scope	Green			Todd Elliott	x
- Approach	Green			Todd Elliott	x
- Business Drivers	Green			Todd Elliott	x
SERVICE OPERATIONS/RECOVERY/CONTINGENCY				Jeff Ross	
VDC Operations Documentation	Green			Jeff Ross	x
- Responsibilities Matrix	Green	Currently in place with CSC		Jeff Ross	x
- Due Diligence	Green	Document provided in Phase II		Jeff Ross	x
- Service Level Agreement(SLA)	Green	No update required. Existing SLA apply for phase IV.		Jeff Ross	x
- RunBook	Green	CSS creates/owns the run book. No changes since L11 was added to Production(04/01)		Jeff Ross	x
- Installation Guidelines	Green	Document provided in Phase II Not applicable for Phase IV		Jeff Ross	x
- Troubleshooting Procedures	Green	No update required. Existing procedures apply for phase IV.		Jeff Ross	x
- Application Service Metrics	Green			Jeff Ross	x
Application Help Desk established	Green	Application Help Desk is in place		Todd Kaywood	x



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FMS Release Checklist Release IV GO LIVE Prerequisites

CONFIGURATION MANAGEMENT/SOURCE CONTROL - Development			Jeff Foss	
Configuration Management Plan	Green	Updated 3/18/02	Steve Kuhl	x
Version Control Procedures	Green	Addressed in the Configuration Management Plan	Steve Kuhl	x
Source Code Library	Green	The FMS Source Code library can be located on the EDLAN	Steve Kuhl	x
CONFIGURATION MANAGEMENT/SOURCE CONTROL - Production			Jeff Foss	
Configuration Management Plan	Green	Updated 3/18/02	Steve Kuhl	x
Version Control Procedures	Green	Addressed in the Configuration Management Plan	Steve Kuhl	x
Source Code Library	Green	The FMS Source Code Library can be located on the EDLAN. All production source code is located in the F:\Production\Software folder.	Steve Kuhl	x
TECHNICAL ARCHITECTURE			Jeff Foss	
Architecture Design	Green		Jeff Foss	x
Development (i.e. coding) Standards	Green		Joe Fletcher	x
Software Development Lifecycle Processes	Green			x
Network Certification	Green	Not Applicable		
Environment Specifications			Jeff Foss	x
- Development	Green	Tech Arch Design	Jeff Foss	x
- Test	Green	Tech Arch Design	Jeff Foss	x
- Production	Green	Tech Arch Design	Jeff Foss	x
LICENSING			Paul Stonner	
Software License Requirements (incl. Paid Licenses)	Green	The total number of users for this release, both internal and external, has been captured and recorded for license management purposes. The license budget may be split between Financial Partners and CPO. The license that were purchased for Phase III are	Paul Stonner	x



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FMS Release Checklist Release IV GO LIVE Prerequisites

REQUIREMENTS AND DESIGN				Jen Alden	
Functional Requirements	Green			Jen Alden	x
Technical Requirements	Green			Joe Fletcher	
Functional Designs	Green			Jen Alden	
Technical Designs	Green			Joe Fletcher	
DATA CONVERSION					
Data Conversion Plan	Green	Not applicable for Phase IV			
CFO sign-off on Data Conversion Plan	Green	Not applicable for Phase IV			
SECURITY				Ruth McIntyre	
Application Security Requirements	Green			Shirley Singleton	x
Security Plan and Risk Assessment	Green	The security plan is in place. A third party assessment is planned.		Shirley Singleton	x
Security Officer Identified	Green	Ruth McIntyre is the Security Officer		Shirley Singleton	x
TESTING - system life cycle				Steve Smith	
Test Strategy and Approach (for all levels of testing)	Green			Steve Smith	
Test Model (incl test plans and test scripts mapped to the appropriate requirements)	Green			Steve Smith	x
Test Data	Green			Steve Smith	x
Documented Test Results	Green			Steve Smith	x
SIR Log	Green			Steve Smith	x
Client sign-off	Green	SFA CFO sign off		Steve Smith	
TESTING - User Acceptance				Steve Smith	
Test Strategy and Approach	Green			Steve Smith	
User Sign-off on results, application	Green			Steve Smith	
PRODUCTION READINESS				Christine Porzi	
QA/QC	Green			Cheryl Queen	
PRR Area Approvals complete	Green			Christine Porzi	
PRR Meeting Scheduled; PRR presentation created	Green			Christine Porzi	
PRR Complete	Green			Christine Porzi	



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FMS Release Checklist Release IV GO LIVE Prerequisites

COMMUNICATION				Christine Porzi	
Identify application user population	Green			Christine Porzi	
Contact user population to notify pending implementation, security form	Green			Christine Porzi	
Security forms collected for all users	Green			Christine Porzi	
Contact user population to distribute procedure manuals	Green			Christine Porzi	
Update at all hands meetings (CFO and other channels) before key release date	Green			Christine Porzi	
APPLICATION TRAINING				Rick Harsche	
Number of Application Users	Green			Rick Harsche	x
User ID Distribution Procedures	Green			Todd Kaywood	
User ID Distribution Complete	Green			Todd Kaywood	
User Training Conducted	Green			Rick Harsche	x
User Installation and Setup Procedures	Green				
TRANSITION TO OPERATIONS - Technical				Jeff Ross	
Code Migration Procedures Documented	Green	Current VDC Change request process will be followed to migrate code		Jeff Ross	
Backup/Recovery Procedures Documented and Tested	Green	CSC has responsibility for this. FMS has provided our requirements. Unable to test until		Jeff Ross	x
Open System Incident Report (SIR) Responsibility Identified and Agreed Upon	Green			Steve Smith	x
Support available for Software Package	Green	Support provided by Oracle Corp as long as SFA maintains SW license/ maintenance agreements		Paul Stonner	x
TRANSITION TO OPERATIONS - Functional/ Organizational				Christine Porzi	
Organization Roles Defined	Green	Operations is currently working with CFO to transition accounting roles for FMS system		Christine Porzi	
On-going Training Function Available	Green			Rick Harsche	x
Training Delivered to Help Desk	Green				



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Appendix B: Responsibility Worksheet

Due to size constraints the Responsibility Worksheet is sent in attachment.